



PATENT  
245001-2000.2

UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Gary KATZ and Greg MAYNARD  
Application : 10/771,993  
Filed : February 3, 2004  
For : AUTOMATED EXCHANGE FOR TRADING COMPLEX  
ORDERS  
Group Art Number : 3622  
Examiner : TBA

New York, New York 10151

EXPRESS MAIL

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Date of Deposit: July 30, 2004

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" Service under 37 CFR 1.10 on the date indicated above and is addressed to: Commissioner for Patents, Washington, DC 20231.

Charles J. Jackson

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(Signature of person mailing paper or fee)

INFORMATION DISCLOSURE STATEMENT

MAIL STOP APPLICATION  
Commissioner for Patents  
P.O Box 1450  
Alexandria, VA 22313-1450

Sir:

The Examiner's attention is invited to the following documents which are set forth in the

PATENT  
245001-2000.1

accompanying form PTO-1449. This Information Disclosure Statement is not a representation that the cited documents considered most pertinent, or that a search has been undertaken, or that any of the cited documents are indeed prior art. The Examiner is invited to undertake an independent search.

Applicant respectfully requests that the Examiner consider and make of record the cited documents and that a copy of Form PTO-1449, initialed by the Examiner be returned to applicant's attorneys.

It is believed that no fees are required by the instant submission as it is prior to receipt of the first Office Action in this application. However, if any fees are required, or if any overpayment has been made, please charge Deposit Acct. No. 50-0320.

Respectfully submitted,

FROMMER LAWRENCE & HAUG LLP  
Attorney for Applicants

By: 

Stephen J. Lieb  
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(212) 588-0800

Enc. - Form PTO 1449

| Based on Form PTO-1449<br>(3/90)<br><br>LIST OF REFERENCES CITED BY APPLICANT<br>(Use several sheets if necessary) |                 | ATTY. DOCKET NO.           |                   | SERIAL NO. |          |                            |  |
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|  |                 | 245001-2000.2              |                   | 10/771/993 |          |                            |  |
|  |                 | APPLICANT                  |                   |            |          |                            |  |
|  |                 | Gary Katz and Greg Maynard |                   |            |          |                            |  |
| FILING DATE  |                 | GROUP                      |                   |            |          |                            |  |
| February 3, 2004   |                 | 3622                       |                   |            |          |                            |  |
| U.S. PATENT DOCUMENTS  |                 |                            |                   |            |          |                            |  |
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| <p>* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</p> |  |  |           |                 |       |          |             |    |